

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. SNAPA.024A	APPLICATION NO. 10/060,908
	APPLICANT Thomas R. Ulrich et al.	
	FILING DATE January 29, 2002	GROUP <del>2178</del> 2189

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
BJP	4837680	06/06/89	Crockett et al.			
BJP	5566331	10/15/96	Irwin, Jr. et al.			
BJP	5907672	05/25/99	Matze et al.			
BJP	5931947	08/03/99	Burns et al.			
BJP	5974503	10/26/99	Venkatesh et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

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EXAMINER <i>BJP</i>	DATE CONSIDERED 6/23/05
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
BSTOR.024AAPPLICATION NO.  
10/060,808INFORMATION DISCLOSURE STATEMENT  
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APPLICANT  
Thomas R. Ulrich, et al.FILING DATE  
January 29, 2002GROUP  
2178- 2189**RECEIVED****DEC 19 2002**

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
BJP	4,914,656	04/03/90	Dunphy, Jr. et al.			
BJP	5,257,362	10/26/93	Menon			
BJP	5,301,297	04/05/94	Menon et al.			
BJP	5,375,128	12/20/94	Menon et al.			
BJP	5,398,253	03/14/95	Gordon et al.			
BJP	5,416,915	05/16/95	Mattson et al.			
BJP	5,442,752	08/15/95	Styczinski			
BJP	5,459,853	10/17/95	Best et al.			
BJP	5,517,632	05/14/96	Matsumoto et al.			
BJP	5,537,534	07/16/96	Voigt et al.			
BJP	5,542,065	07/30/96	Burkes et al.			
BJP	5,586,291	12/17/96	Lasker et al.			
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BJP	5,754,756	05/19/98	Watanabe et al.			
BJP	5,845,319	12/01/98	Yorimitsu			
BJP	5,862,313	01/19/99	Johnson et al.			
BJP	5,875,459	02/23/99	Taoda			
BJP	5,901,280	05/04/99	Mizuno et al.			
BJP	5,975,738	11/02/99	DeKoning et al.			
BJP	5,617,425	04/01/97	Anderson			
BJP	6,000,020	12/07/99	Chin et al.			
BJP	6,055,228	04/25/00	DeKoning et al.			
BJP	6,065,096	05/16/00	Day et al.			
BJP	6,219,693	04/17/01	Napolitano et al.			
BJP	6,219,751	04/17/01	Hodges			
BJP	US 2001/0002480	05/31/01	DeKoning et al.			

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO

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OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
BJP	1	5,355,453	10/11/94	Row et al.			
BJP	2	5,388,231	02/07/95	Starr			
BJP	3	5,485,579	01/16/96	Hitz et al.			
BJP	4	5,513,314	04/30/96	Kandasamy et al.			
BJP	5	5,701,516	12/23/97	Cheng et al.			
BJP	6	5,802,366	09/01/98	Row et al.			
BJP	7	5,819,292	10/06/98	Hitz et al.			
BJP	8	5,862,312	01/19/99	Mann et al.			
BJP	9	5,941,969	08/24/99	Ram et al.			
BJP	10	5,948,110	09/07/99	Hitz et al.			
BJP	11	5,950,225	09/07/99	Kleiman			
BJP	12	5,963,962	10/05/99	Hitz et al.			
BJP	13	5,996,089	11/30/99	Mann et al.			
BJP	14	6,029,168	02/22/00	Frey			
BJP	15	6,038,570	03/14/00	Hitz et al.			
BJP	16	6,065,037	05/16/00	Hitz et al.			
BJP	17	6,081,883	06/27/00	Popelka et al.			
BJP	18	6,119,244	09/12/00	Schoenthal et al.			
BJP	19	6,148,414	11/14/00	Brown et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
BJP	20	Microsoft Knowledge Base Article -222189; Description of Disk Groups in Windows Disk Management, pgs. 1-5.
BJP	21	The Network Appliance Enterprise Storage Architecture: System and Data Availability TR 3065 by Michael J. Marchi & Andy Watson, Network Appliance, Inc., pgs. 1-10.

EXAMINER	<i>BJP</i>	DATE CONSIDERED	6/23/05
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
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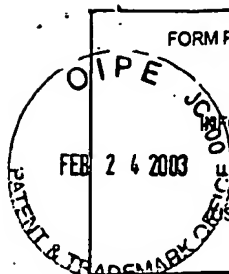
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January 29, 2002GROUP  
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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
BJP	22 SnapMirror and SnapRestore: Advances in Snapshot Technology by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-15.
BJP	23 SecureShare™: Guaranteed Multiprotocol File Locking by Keith Brown & Andrea Borr, Network Appliance, Inc., pgs. 1-17.
BJP	24 File System Security: Secure Network Data Sharing for NT and UNIX by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-12.
BJP	25 Data Protection Strategies for Network Appliance Filers by Jay Desai, Grant Melvin, David Yu, Mike Federwisch, Network Appliance, Inc., pgs. 1-32.
BJP	26 Multiple Volumes and Multiple RAID Groups on NetApp Filers by Karl L. Swartz, Network Appliance, Inc., pgs. 1-9.
BJP	27 Windows® 2000 and NetApp® Filers: An Overview TR 3113 by John Phillips, Network Appliance, Inc., pgs. 1-6.
BJP	28 Integrating NetApp® Filers with the Microsoft® Active Directory TR 3124 by John Phillips, Network Appliance, Inc., pgs. 1-10.
BJP	29 CIFS Authentication and Security TR3020 by Bridget Allison, Network Appliance, Inc., pgs. 1-7.
BJP	30 High Availability Storage Appliance TR 3127 by Jim Helfrich, Network Appliance Inc., pgs. 1-8.
BJP	31 SnapMirror and SnapRestore: Advances in Snapshot Technology TR 3043 by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-14.
BJP	32 Merging NT and UNIX Filesystem Permissions TR 1005 by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-13.
BJP	33 File System Design for an NFS File Server Appliance TR3002 by Dave Hitz, James Lau, & Michael Malcolm, Network Appliance, Inc., pgs. 1-10.
BJP	34 SecureShare™ Safe UNIX/Windows File Sharing through Multiprotocol Locking by Andrea Borr, pgs. 1-16.
BJP	35 Soft Updates: A Solution to the Metadata Update Problem in File Systems by Gregory R. Ganger, Marshall Kirk McKusick, Craig A. N. Soules and Yale N. Patt, pgs 1-27.
BJP	36 Soft Updates: A Technique for Eliminating Most Synchronous Writes in the Fast Filesystem by Marshall Kirk McKusick and Gregory R. Ganger, pgs. 1-18.
BJP	37 Journaling Versus Soft Updates: Asynchronous Meta-Data Protection in File Systems by Margo I. Seltzer, Gregory R. Ganger, M. Kirk McKusick, Keith A. Smith, Craig A. N. Soules, and Christopher A. Stein, pgs. 1-15.
BJP	38 Exploring SMB by Andrew Tridgell, May 8, 2000, pgs. 1-6.
BJP	39 Transactions and Recovery File Systems & Databases; Anupam Bhide, CalSoft Private Limited, 22 Gaurishankar, Shivaji Housing Society, Off Senapati Bapat Road PUNE, pgs. 1-24.
BJP	40 Storage Resource Management Requirements for Disk Storage by John Tyrrell, Mich Dutch and Steve Terwilliger, pgs. 1-26.
BJP	41 IBM StorageTank™, A Distributed Storage System by D.A. Pease, R.M. Rees, W.C. Hineman, D.L. Plantenberg, R.A. Becker-Szendy, R. Ananthanarayanan, M. Sivan-Zimet, C.J. Sullivan: IBM Almaden Research Center; R.C. Burns: Johns Hopkins University; D.D.E. Long: University of California, Santa Cruz, January 23, 2002, pgs. 1-7.
BJP	42 Storage Tank, Randal Burns; Storage Systems and Servers, IBM Almaden Research Center by Robert Rees, David Pease, Wayne Hineman, Michael Penner and Darrell Long, pgs. 1-44.
BJP	43 Storage Tank, IBM Almaden Research Center by Bob Rees, David Pease, Randal Burns and Jai Menon, pgs. 1-7.


EXAMINER	<i>B. K.</i>	DATE CONSIDERED	6/23/05
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	FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. SNAPA.024A	APPLICATION NO. 10/060,908
	INFORMATION DISCLOSURE STATEMENT BY APPLICANT			APPLICANT Thomas R. Ulrich, et al.
	USE SEVERAL SHEETS IF NECESSARY			FILING DATE January 29, 2002 GROUP <del>2176</del> 2189

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EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
BJP	44 Semi-Preemptible Locks for a Distributed File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
BJP	45 Scalable Session Locking for a Distributed File System by Randal C. Burns, Robert M. Rees, Larry J. Stockmeyer and Darrell D. E. Long, pgs. 1-25.
BJP	46 Consistency and Locking for Distributing Updates to Web Servers Using a File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-7.
BJP	47 Efficiently Distributing Data in a Web Server Farm by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-11.
BJP	48 An Analytical Study of Opportunistic Lease Renewal by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
BJP	49 Safe Caching in a Distributed File System for Network Attached Storage by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
BJP	50 A Bit-Parallel Search Algorithm for Allocating Free Space by Randal Burns and Wayne Hineman, pgs. 1-9.
BJP	51 Date Management in a Distributed File System for Storage Area Networks by Randal Chilton Burns, March 2000, pgs. 1-161.
BJP	52 Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Draft SNIA CIFS Work Group Work-in-Progress, Revision Date: 3/26/2001, pgs. 1-126.
BJP	53 Serverless Network File Systems, Copyright © 1995 by Michael Donald Dahlin, pgs. 1-177.
BJP	54 Solaris Internals, Core Kernel Components; Sun Microsystems Press, A Prentice Hall Title, by Jim Mauro and Richard McDougall, pgs. 1-116.
BJP	55 Unix Internals, The New Frontiers by Uresh Vahalia, EMC Corporation, Hopkinton, MA, Prentice Hall, Upper Saddle River, New Jersey 07458, pgs. 1-151.
BJP	56 NFS Illustrated, An Imprint of Addison Wesley Longman, Inc., by Brent Callaghan, pgs. 1-120.

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Thomas R. Ulrich, et al. ) Group Art Unit 2176  
App. No. : 10/060,908 )  
Filed : January 29, 2002 )  
For : REPLACING FILE SYSTEM )  
PROCESSORS BY HOT )  
SWAPPING )  
Examiner : Unknown )

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INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing twenty-six (26) references that are also enclosed. Applicant also desires to bring the following list of copending applications to the Examiner's attention. The specifications of the copending applications are similar to the above-referenced application; thus, Applicant has enclosed the claims and abstract of the copending applications. If the Examiner would like Applicant to submit complete copies of the copending applications, please contact the Applicant's attorney, at (949) 721-2988 or at the number below. The copending applications are as follows:

10/060,930, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.022A)  
10/060,879, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.023A)  
10/060,947, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.025A)  
10/060,920, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.026A)  
10/060,918, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.027A)  
10/060,977, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.028A)  
10/060,956, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.029A)

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-BSP  
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Appl. No. : 10/060,908  
Filed : January 29, 2002

NOTED  
-BSP  
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10/060,878, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.030A)  
10/060,903, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.031A)  
10/060,911, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.032A)  
10/060,921, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.033A)  
10/060,874, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.034A)  
10/060,686, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.035A)  
10/060,919, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.036A)  
10/060,863, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.037A)  
10/060,957, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.038A)  
10/060,939, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.039A)  
10/060,916, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.040A)  
10/060,858, filed on January 29, 2002, Thomas R. Ulrich et al. (BSTOR.041A)

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 12/12/02

By: John R. King  
John R. King  
Registration No. 34,362  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

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